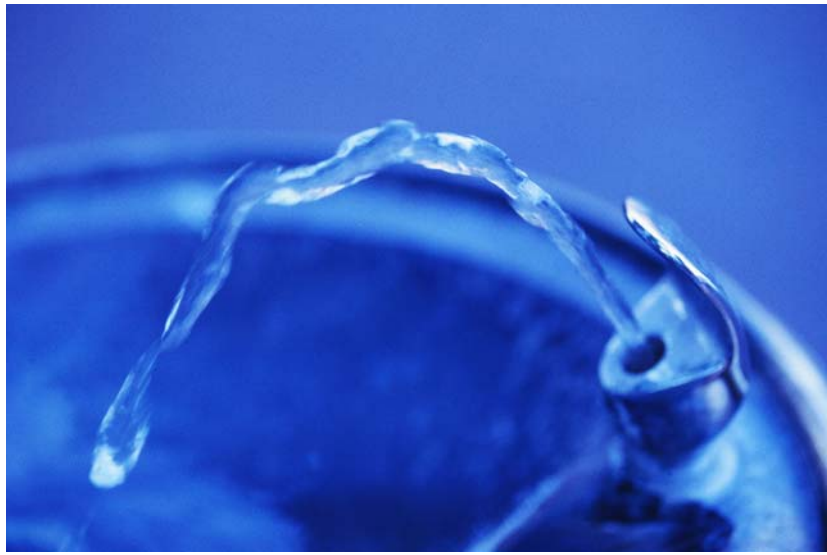




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**DIVISION OF ENGINEERING**

**WATER AND SEWER BRANCH**

**WATER UTILITY INSPECTION CHECKLIST**

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**Division of Engineering**

**Water and Sewer Branch**

**Inspector:**\_\_\_\_\_

**Date:**\_\_\_\_\_

**I. UTILITY INFORMATION**

Utility Contact Person:\_\_\_\_\_

Utility Name:\_\_\_\_\_

Utility Address:\_\_\_\_\_

City, State Zip:\_\_\_\_\_

County(ies) Served: 1)\_\_\_\_\_

2)\_\_\_\_\_

3)\_\_\_\_\_

4)\_\_\_\_\_

5)\_\_\_\_\_

6)\_\_\_\_\_

## II. TREATMENT FACILITY

Source of Water:\_\_\_\_\_

Plant Capacity:\_\_\_\_\_

Avg. Amount Produced: \_\_\_\_\_

Plant Constructed:\_\_\_\_\_

Plant Expansion (if any) constructed:\_\_\_\_\_

## III. DISTRIBUTION FACILITY

1. Source(s) of Water:\_\_\_\_\_

Avg. Amt. Purchased:\_\_\_\_\_

Yearly Avg. Loss:\_\_\_\_\_%

2. Does the utility's unaccounted-for water loss exceed fifteen percent (15%) of total water produced and purchased in accordance with 807 KAR 5:066 Sec.6(3)? ( ) Yes ( ) No

a. How does the utility control its water loss in the system? \_\_\_\_\_

b. Does the utility have a proactive water loss prevention/leak detection program in place? ( ) Yes ( ) No

c. Is the utility aware that KRWA can help leaks? ( ) Yes ( ) No  
Give a copy of KRWA's "Components of a Water Loss Prevention Plan."

d. Are you aware of the PSC's Microsoft Excel water loss calculation sheet on line? ( ) Yes ( ) No

e. Does the utility have a tariff in place to require water users, for the purpose of fighting fires or training firefighters to any city, county, urban-county, charter county, fire protection district, or volunteer fire protection district, to maintain estimates of the amount of water used for fire protection and training, and to report this water usage to the utility on a regular basis per KRS 278.170(3)? ( ) Yes ( ) No

3. Is the utility limited by contract to purchase a minimum amount of water per month? ( ) Yes ( ) No If yes, minimum amount: \_\_\_\_\_

4. Is the utility limited by contract to a maximum amount of water per month? ( ) Yes ( ) No  
If Yes, what is the maximum amount allowed:\_\_\_\_\_

5. Does the utility wholesale water to other utility(s)? ( ) Yes ( ) No  
If Yes, what utility(s):\_\_\_\_\_

**IV. NUMBER OF CUSTOMERS**

1. Number of customers last billing period: \_\_\_\_\_
2. Number of customers last inspection:\_\_\_\_\_ Percent change:\_\_\_\_\_
3. Number of customers who have two (2) inch or larger meter: \_\_\_\_\_
4. Number of potential customers not being served within your service boundary? \_\_\_\_\_
5. Number of requests for service (meter connections) received by the utility. \_\_\_\_\_

**V. LAST INSPECTION FOLLOW-UP**

1. Date Inspected: \_\_\_\_\_ Number of deficiency tracking reports noted:\_\_\_\_\_
2. If deficiency tracking reports were found, did the utility respond to inspection report?:  
( ) Yes ( ) No
3. Were all deficiency tracking reports adequately addressed? ( ) Yes ( ) No  
If not, explain: \_\_\_\_\_  
\_\_\_\_\_

**VI. OFFICE INFORMATION**

Manager:\_\_\_\_\_ Office Phone No.:\_\_\_\_\_

Office Hours:\_\_\_\_\_ Office Location:\_\_\_\_\_

\_\_\_\_\_

Additional Phone No.(s):\_\_\_\_\_

1. Does the utility display its rates and conditions for service or a sign stating they are available for review in accordance with KRS 278.160(1)?:  
( ) Yes ( ) No
  2. Does the utility provide in its place of business a suitable area available to the public for inspection of its tariffs, rules and regulations, and statutes in accordance with 807 KAR 5:011Sec.12? ( ) Yes ( ) No
  3. Does the utility have any special contracts in accordance with 807 KAR 5:011 Sec.13?  
( ) Yes ( ) No
- Has the utility filed these contracts with the Commission? ( ) Yes ( ) No

4. Is the utility posting and maintaining regular business hours and providing employees to assist their customers in accordance with 807 KAR 5:006 Sec.13(1)? ( ) Yes ( ) No
5. Is a telephone number published in all areas served (if service area extends to other counties) to permit customers to contact the utility in accordance with 807 KAR 5:006 Sec.13(1)(a)? ( ) Yes ( ) No
6. Does the utility have at least one employee designated to resolve disputes, answer questions, and negotiate partial payment plans in accordance with 807 KAR 5:006 Sec.13 (1)(b)? ( ) Yes ( ) No
7. How many days a week is the office open in accordance with 807 KAR 5:006 Sec.13(1)(b)2? \_\_\_\_\_  
 As a minimum for utilities under \$250,000 gross annual operating revenue, are the customers of the utility provided with a designated representative available during utility's established working hours at least one day a week for (7) hours to answer questions they may have? ( ) Yes ( ) No
8. If the utility finds a customer's usage unduly high, are they notifying the customer in writing during or immediately after they do an investigation in accordance with 807 KAR 5:006 Sec.10(4)? ( ) Yes ( ) No
9. Does utility have on file at its principal office an updated water distribution system map in accordance with 807 KAR 5:006 Sec.22? ( ) Yes ( ) No  
 Has utility filed a copy of such map upon request with the Commission? ( ) Yes ( ) No
10. Are all records required by PSC regulations kept in the office of the utility and available to staff of the PSC upon reasonable notice at all reasonable hours per 807 KAR 5:006 Sec. 23? ( ) Yes ( ) No
11. Does the utility have an Operation and Maintenance Manual per DOW's regulation 401 KAR 8:020 Section 2(13) and PSC regulation 807 KAR 5:066 Section 3(1)? ( ) Yes ( ) No
  - a. Does this manual contain a facilities' inspection/maintenance plan of which PSC required inspection procedures should be a part? ( ) Yes ( ) No
  - b. Does this manual contain a proactive meter testing/replacement (change out) plan? ( ) Yes ( ) No
  - c. Does this manual contain a proactive leak detection/water loss prevention plan? ( ) Yes ( ) No
  - d. Does this manual contain a proactive asset management/replacement plan? ( ) Yes ( ) No

## **VII. CONSTRUCTION**

1. What was the last calendar year the utility performed any construction? \_\_\_\_\_
  - a. How was the project financed? \_\_\_\_\_
  - b. The construction project consists of:  
Length of water line: \_\_\_\_\_  
Number of pump stations: \_\_\_\_\_  
Number of water storage facilities: \_\_\_\_\_  
Additional construction: \_\_\_\_\_
  - c. Did the utility receive Commission approval for this project in accordance with KRS 278.020 or KRS 278.023? ( ) Yes ( ) No
  - d. If yes, were as-built plans and a certified statement submitted to the Commission within 60 days of substantial project completion? ( ) Yes ( ) No
  - e. If not, was a written opinion by Commission staff regarding ordinary course of business (807 KAR 5:001 Sec.9) received by utility? ( ) Yes ( ) No
2. Proposed construction projects: \_\_\_\_\_  
\_\_\_\_\_
  - a. Will the utility be applying for a Certificate of Public Convenience and Necessity (CPCN)? ( ) Yes ( ) No
  - b. If not, explain: \_\_\_\_\_
  - c. Will the utility be requesting Commission staff opinion to see if proposed construction is within ordinary course of business per 807 KAR 5:001, Sec.9? ( ) Yes ( ) No

## **VIII. METER TESTING INFORMATION**

1. Does the utility make quarterly reports on forms prescribed by the Commission, of meter tests, number of customers and amount of refunds in accordance with 807 KAR 5:006 Sec.3(2)? ( ) Yes ( ) No  
Is the utility aware of the Microsoft Excel form on PSC the PSC website? ( ) Yes ( ) No
2. Does the utility test its own meters? ( ) Yes ( ) No
  - a. Are utility employees certified by the Commission to do their own meter testing in accordance with 807 KAR 5:006 Sec.16(1)? ( ) Yes ( ) No

- b. How do you ensure utility meter testing staff are trained and updated on the latest procedures?  
\_\_\_\_\_
- c. How does the utility ensure that meter testing equipment remain in a condition to deliver reliable testing results? \_\_\_\_\_
- d. Does the utility have an outside agency perform its meter testing per KAR 5:006 Sec.16(2)?  
( ) Yes ( ) No
- e. If yes, provide outside agency name: \_\_\_\_\_
- f. Has the Commission been notified? ( ) Yes ( ) No
- g. What controls does the utility have in place to ensure the meter testing entity is able to delivery a competent job?
3. Verify that utility is keeping a written record on meter history information in accordance with KAR 5:006 Sec.17(2). ( ) Yes ( ) No
4. Verify that utility is keeping a written record on meter test information in accordance with KAR 5:006 Sec.17(1). ( ) Yes ( ) No
5. Is the utility storing any or all of its meter test and historical data in a computer storage and retrieval system in accordance with KAR 5:006 Sec.17(4)? ( ) Yes ( ) No
- a. Has the utility notified the Commission of this? ( ) Yes ( ) No ( ) N/A
- b. Does the utility keep a backup of this information? ( ) Yes ( ) No
- c. How often is this information backed up? ☐ Daily ☐ Weekly ☐ Monthly ☐ Never
6. Is the history & test information kept in a ( ) fire-proof area or at a ( ) remote site?
7. Does the utility have installed at each source of supply a suitable measuring device (master meter) per 807 KAR 5:066 Sec.6(1)? ( ) Yes ( ) No
- a. Who is responsible for the testing of the master meters? \_\_\_\_\_
- b. Is meter testing responsibility explicitly specified in water purchase contract? ( ) Yes ( ) No



[illegible][illegible]

9. Is the utility upon finding a customer's usage unduly high without explanation conducting any testing on the customer's meter in accordance with 807 KAR 5:006 Sec.10(3)?      ( )      Yes      ( )      No

## IX. SAFETY PROGRAM

1. Has the utility adopted and executed a safety program in accordance with 807 KAR 5:006 Sec.24?  
( ) Yes ( ) No
  2. Does the utility have on site a safety manual with written guidelines for safe working practices and procedures to be followed by utility employees in accordance with 807 KAR 5:006 Sec.24(1)?  
( ) Yes ( ) No (If no, provide sample guideline)
  3. How does the utility instruct its employees in safe methods of performing their work per 807 KAR 5:006, Section 24(2)? \_\_\_\_\_
- Are regularly scheduled safety meetings held? ( ) Yes ( ) No  
If yes, how often? \_\_\_\_\_ When was last meeting? \_\_\_\_\_

4. Do certain employees receive instruction in accepted methods of artificial respiration in accordance with 807 KAR 5:006 Sec.24 (3)? ( ) Yes ( ) No
5. Are all vehicles equipped with First Aid Kits? ( ) Yes ( ) No
6. Are all vehicles equipped with Fire Extinguishers? ( ) Yes ( ) No
7. Are safety lights used on all vehicles? ( ) Yes ( ) No
8. Who is the utility's safety officer? \_\_\_\_\_
9. Are all employees given prior training before the operation of any equipment or tools before their use? ( ) Yes ( ) No
10. Did the utility experience any work related accidents of its employees within the last 12 months? ( ) Yes ( ) No
11. Was there a record kept of these accidents? ( ) Yes ( ) No
12. Was the accident(s) reported to the Public Service Commission in accordance with 807 KAR 5:006 Sec.26? ( ) Yes ( ) No
13. Do all employees have identification that will identify them as an employee of the utility in accordance with 807 KAR 5:006 Sec.19? ( ) Yes ( ) No

## **X. INSPECTION PROCEDURES**

1. Does the utility inspect all its facilities per 807 KAR 5:006 Sec. 25(6)(a), (b), and (c)? ( ) Yes ( ) No  
Identify utility inspection personnel: \_\_\_\_\_

Note: If the utility has not made a physical inspection of its tanks and pump stations, provide sample inspection forms as necessary.

2. Has the utility adopted a written inspection procedure to assure safe and adequate operation of its facilities per 807 KAR 5:006 Sec.25(1)? ( ) Yes ( ) No  
  
Has the utility conducted a vulnerability study for terrorist and other intentional acts in accordance with the Safe Drinking Water Act Title XIV Sec.1433? ( ) Yes ( ) No ( ) N/A
3. Is a written inspection record kept on the following per 807 KAR 5:006 Sec. 25(3)?
  - a. Wells and/or raw water pumps ( ) Yes ( ) No ( ) N/A
  - b. Treatment Plants ( ) Yes ( ) No ( ) N/A

- ## XI. METER READING

- 11

- d. Does the utility verify customer-read-meters at least once in a calendar year per 807 KAR 5:006 Sec.6(5)? ☐ Yes ☐ No
2. Has the utility included the form of bill to be used in its tariffed rules per 807 KAR 5:006 Sec. 6(3)? ☐ Yes ☐ No
4. Does the utility charge any flat rates for unmetered service per 807 KAR 5:006, Section 6(2)? ☐ Yes ☐ No
5. Does your utility provide free or reduced rate service to any person or entity per KRS 278.170? ☐ Yes ☐ No
- a. If yes, who? \_\_\_\_\_
- b. Do you have a PSC approved tariff setting those conditions? ☐ Yes ☐ No

## **XII. CUSTOMER COMPLAINTS**

1. Is the utility keeping a record of all customer complaints in accordance with 807 KAR 5:006 Sec.9? ☐ Yes ☐ No
2. Does this record show the following in accordance with 807 KAR 5:006 Sec.9?
- a. Name of complainant ☐ Yes ☐ No
- b. Address of complainant ☐ Yes ☐ No
- c. Date and nature of complaint ☐ Yes ☐ No
- d. Adjustment or disposition ☐ Yes ☐ No
3. Are complaint records kept for two (2) years from the date of resolution? ☐ Yes ☐ No
4. Does the utility provide the complainant an oral or written notice of their right to file a complaint with the Commission including Commission's address and phone number for all complaints that are not resolved per 807 KAR 5:006 Sec.9? ☐ Yes ☐ No

## **XIII. CUSTOMER SERVICE INFORMATION**

1. Does the utility provide to any customer, upon request, a description in writing of chemical constituents and bacteriological standards of the treated water (such as the Consumer Confidence Reports "CCR" required by Natural Resources Cabinet) per 807 KAR 5:066 Sec.2(1)? ☐ Yes ☐ No
2. Does the utility provide a schedule of rates for water service applicable to the service being rendered to the customer per 807 KAR 5:066 Sec.2(2)? ☐ Yes ☐ No
3. Does the utility provide information to customers on the method of reading meters per 807 KAR 5:066 Sec.2(3)? ☐ Yes ☐ No

4. Does the utility have a statement of the past meter reading of a customer for a period of two years per 807 KAR 5:066 Sec.2(4)? ☐ Yes ☐ No

#### **XIV. WATER QUALITY/RECORDS**

1. Has the utility been in compliance with the water quality requirements of the Division of Water within the last twelve months per 807 KAR 5:066 Sec.3(1)? ☐ Yes ☐ No

a. If not, how many violations did the utility receive, and what were they? \_\_\_\_\_

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b. Is the utility under an Agreed Order with the Division of Water? ☐ Yes ☐ No

c. If yes, what are the issues? \_\_\_\_\_

d. Does DOW have utility on ☐ tap-on ban? ☐ line extension ban?

2. Did the utility have any public notifications required by Division of Water regulations such as boil water advisories, notices, CCR, etc. that need to be reported to the Commission per 807 KAR 5:066 Sec.3(4)(b)? ☐ Yes ☐ No

Was the PSC notified of these public notifications? ☐ Yes ☐ No

3. Is a cross-connection prevention program available? ☐ Yes ☐ No

4. Has the utility made a physical connection between its distribution system and that of any other water supply in the past year per 807 KAR 5:066 Sec.3(3)(b)? ☐ Yes ☐ No

If yes, what system? \_\_\_\_\_

a. Was the Commission notified prior to such connections? ☐ Yes ☐ No

b. Is there a contract between systems? ☐ Yes ☐ No

## **XV. CONTINUITY OF SERVICE**

1. Does the utility keep a record of all interruptions per 807 KAR 5:066 Sec.4(5)?  
( ) Yes ( ) No
2. Does this record contain the following information:
  - a. Date of interruption ( ) Yes ( ) No
  - b. Cause of interruption ( ) Yes ( ) No
  - c. Time of interruption ( ) Yes ( ) No
  - d. Duration of interruption ( ) Yes ( ) No
  - e. Remedy and steps taken to prevent recurrence ( ) Yes ( ) No
3. Does the utility notify all customers and fire officials, if applicable, affected by a scheduled interruption per 807 KAR 5:066 Sec.4(2)?  
( ) Yes ( ) No
  - a. If yes, does this information state time and anticipated duration? ( ) Yes ( ) No
  - b. If applicable, does this information also pertain to fire officials? ( ) Yes ( ) No
4. Does utility notify fire protection officials, if applicable during emergency interruptions per 807 KAR 5:006 Sec.4(1)?  
( ) Yes ( ) No
5. Does the utility have available dual/standby pumps capable of providing the maximum daily pumping demand of system for use when any pump is out of service pursuant to 807 KAR 5:066, Section 4 (3)?  
( ) Yes ( ) No
  - a. Will one pump meet the maximum daily pumping demand for its affected customers?  
( ) Yes ( ) No
  - b. Do both pumps need be operated simultaneously to meet maximum daily demand?  
( ) Yes ( ) No
  - c. Are both pumps operational at this time? ( ) Yes ( ) No
  - d. How does utility ensure that both pumps are operational? \_\_\_\_\_  
\_\_\_\_\_
  - e. How does utility operate/control its pump stations:  
( ) manually on-site ( ) remotely from main office/off-site.
  - f. If utility does not have dual pumps, are standby pumps available to meet the maximum daily demand?  
( ) Yes ( ) No
  - g. Identify those locations of pumping stations in your system where standby pumps are not available, if any. \_\_\_\_\_

- h. How soon can available standby pumps be installed? \_\_\_\_\_
6. Does the utility keep a record of all water flushed from hydrants? ( ) Yes ( ) No
- a. Are all deadends provided with a flushing device per 807 KAR 5:066 Sec.8(2)? ( ) Yes ( ) No  
If no, how many need a flushing device?
- b. Are all deadends flushed at least annually per 807 KAR 5:066 Sec.8(2)? ( ) Yes ( ) No
- c. Are all flush hydrants properly sized in accordance with 807 KAR 5:066 Sec.8(2) ( ) Yes ( ) No
- d. Does the utility keep a maintaining record on flush valves? ( ) Yes ( ) No
- e. Who is in charge of the flushing program? \_\_\_\_\_
7. Does the utility keep a record of its valves in its distribution system? ( ) Yes ( ) No
- a. Does the utility have a periodic exercise program for its valves? ( ) Yes ( ) No
- b. Does the utility mark the location of its valves? ( ) Yes ( ) No
- c. Who is in charge of the valve program? \_\_\_\_\_
8. Does the utility provide fire hydrants for fire protection? ( ) Yes ( ) No ( ) N/A
- a. Do the local fire officials provide the utility with records of water used for fire protection? ( ) Yes ( ) No
- b. Are fire hydrants constructed after 1992 certified as having adequate and reliable fire flows by a professional engineer with a Kentucky registration per 807 KAR 5:066 Sec.10(2)(b)? ( ) Yes ( ) No
- c. Who is responsible for maintenance of fire hydrants?  
( ) Utility ( ) Fire Department ( ) Other \_\_\_\_\_
- d. Does fire protection adversely affect utility customers' service quality during use?  
( ) Yes ( ) No ( ) N/A
- If yes, how: \_\_\_\_\_

## **XVI. WATER PRESSURE**

1. Does the utility own at least one recording pressure gauge per 807 KAR 5:066 Sec.5(2)?  
( ) Yes ( ) No
  - a. Number of pressure recorders owned\_\_\_\_\_
  - b. Number of pressure recorders in working order\_\_\_\_\_
2. Is the utility maintaining a recording pressure gauge in its distribution system at least one week per month per 807 KAR 5:066 Sec.5(2)?  
( ) Yes ( ) No
  - a. Number of pressure charts over the last twelve months\_\_\_\_\_
  - b. Do pressure charts show the date and time of beginning and ending of the test and the location at which the test was made per 807 KAR 5:066 Sec.5(3)? ( ) Yes ( ) No
  - c. Are pressure survey records maintained at the utility's principal office per 807 KAR 5:066 Sec.5(3)? ( ) Yes ( ) No
3. Does the pressure at any customer's service pipe anywhere in system area fall below (30) psig or exceed (150) psig per 807 KAR 5:066 Sec.5(1)?  
( ) Yes ( ) No

If yes, explain:\_\_\_\_\_

## **XVII. WATER SHORTAGE RESPONSE PLAN**

1. Has the utility filed a Water Shortage Response Plan with the Natural Resources Cabinet?  
( ) Yes ( ) No
2. Has the utility filed a copy of this plan with the Public Service Commission per 807 KAR 5:066 Sec.17?  
( ) Yes ( ) No



## **XVIII. WATER STORAGE FACILITIES**

	<b><u>Tank and Location</u></b>	<b><u>Storage Capacity</u></b>	<b><u>Last Inspection/ Maintenance</u></b>
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____
7.	_____	_____	_____
8.	_____	_____	_____
9.	_____	_____	_____
10.	_____	_____	_____

Total Storage Capacity: \_\_\_\_\_ Gal. Avg Daily Consumption: \_\_\_\_\_ GPD

If total storage capacity is less than average daily consumption, will a deviation from 807 KAR 5:066 Section 4(4) be requested? ( ) Yes ( ) No When? \_\_\_\_\_

Will more storage facilities be proposed? ( ) Yes ( ) No When? \_\_\_\_\_

## **XIX. PUMPING FACILITIES**

	<b><u>Pump Location and Location</u></b>	<b><u>No. of Pumps/GPM</u></b>	<b><u>Last Inspection/ Maintenance</u></b>
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____
7.	_____	_____	_____
8.	_____	_____	_____
9.	_____	_____	_____
10.	_____	_____	_____

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